

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/195,230

07/15/2002

James Robert Prough

2065.005A

23405 HESLIN ROTHENBERG FARLEY & MESITI PC 5 COLUMBIA CIRCLE ALBANY, NY 12203



CONFIRMATION NO. 4235

FORMALITIES LETTER

OC00000008642703*

Date Mailed: 08/16/2002

NOTICE OF OMITTED ITEM(S) IN A NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

A filing date has been accorded to the above-identified nonprovisional application papers; however, the following item(s) appear to have been omitted from the application:

• Figure(s) 3a.3b,3c,4,5,6,7,8,9,10 described in the specification.

DOCKETED 10/16/02

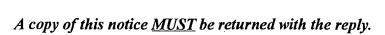
I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit must be filed within TWO MONTHS of the date of this Notice. The petition fee will be refunded if is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h)) requesting the later filing date must be filed within TWO MONTHS of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within TWO MONTHS of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b). In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (i.e., the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively 'electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.





Customer Service Center

Initial Patent Examination Division (703) 308-1202
PART 2 - COPY TO BE RETURNED WITH RESPONSE





Hon. Commissioner of Patents & Trademarks Box 10 Washington, D.C. 20231

Re: US Application Serial Number: 10/195,230

Filing Date: July 15, 2002

Title: SYSTEM AND METHOD FOR IMPROVING THE

MOVEMENT AND DISCHARGE OF MATERIAL FROM

VESSELS

REQUEST FOR CERTIFIED COPY UNDER 37 CFR § 1.19(b)(1)

Dear Sir:

This is a request for a certified copy of the above application as filed. A check in the amount of \$15 to cover the fee for regular service under 37 CFR § 1.19(b)(1) is enclosed herewith. Please send the certified copy to the undersigned at the address below.

Respectfully submitted,

John Pietrangelo (Agent for Applicants

Reg. No. 39,331

Dated: August <u>6</u>, 2002

HESLIN ROTHENBERG FARLEY & MESITI P.C.

5 Columbia Circle

Albany, New York 12203 Telephone: (518)452-5600

Facsimile: (518)452-5579





APPLICANT: Prough, et al. TITLE: System and Method for Improving the Movement and Discharge of Material from Vessels

Enclosed:

Utility Patent Application Transmittal (Small Kntity) (4 pgs.);

* U.S. Patent Application Specification (33 pgs.), including 63 claims, 12 pgs, and Abstract, 1 pg;

* Three (3) sheets of formal drawings;

* Executed Declaration and Power of Attorney For Patent

Application, (4 pgs.);

* Executed Assignment (3 pgs.) with Recordation Form Cover Sheet (1 pg.);

* Information Disclosure Statement (1 pg.);

- Information Disclosure Citation (1 pg.) with 2 reference;
 Assertion of Small Entity Status Under 37 C.F.R. § 1.27(c)(2) (1) pg.;
- * Check for \$839.00 for \$799.00 filing fee, and \$40.00 recordation fee;

* EFS Data Sheet (2 pg.);
* Certificate of Express Mail (Label No. EV 027280635 US; and

* One (1) Return Receipt Postcard.

FILE: 2065.005A JP/tap

Due Date: 08/02/2002 Date Mailed: 07/15/2002 10/195230 PTO

HESLIN ROTHENBERG FARLEY & MESITI P.C.

Robert E. Heslin Jeff Rothenberg Kevin P. Radigan Susan E. Farley Nicholas Mesiti Philip E. Hansen * Blanche E. Schiller Wayne F. Reinke Candice J. Clement David P. Miranda

*Patent Agent †Other than NY Bar



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Attorneys at Law 5 Columbia Circle Albany, New York 12203 Telephone: (518) 452-5600 Facsimile: (518) 452-5579 www.hrfmlaw.com Kathy Smith Dias Mary Louise Gioeni David A. Pascarella Victor A. Cardona Lee Palmateer John Pietrangelo * Alison E. Gugel Brett M. Hutton James M. Syta Jacqueline M. Arendt†

Martha L. Boden Of Counsel

Certificate of Express Mail and Facsimile Transmission

I hereby certify that this correspondence is being transmitted via Express Mail and via facsimile to the Commissioner for Patents, Box PETITIONS, Office of Patent Legal Administration, Washington, D.C. 20231 to the attention of Ms. Terry Dey at facsimile number 703-308-6916 on November 19, 2002.

John Pietrangelo Agent for Applicant Reg. No. 39,331

Date of Signature: November 19, 2002

Fax: 703-308-6916/Then Express Mail

No. of Pages in fax: 9

Commissioner for Patents Box PETITIONS Office of Patent Legal Administration Washington, D.C. 20231

Attention: Ms. Terry Dev

Re: Petition to Request New Filing Date and

Application Number for

Non-provisional Application No.: 10/195,230

Filing Date: July 15, 2002 Our File Ref.: 2065.005A RECEIVED

NOV 2 1 2002

OFFICE OF PETITIONS

Dear Ms. Dey:

Thank you for discussing this matter with me on the phone, and please thank Mr. Silverberg for his assistance. The New Petition requesting the new filing date and new application number, as we discussed, is included with this facsimile. The supporting

Re: Facsimile to Ms. Dev

Application No.: 10/195,230

documents identified as Exhibits A through I are included with the Express Mail copy of this letter. Any assistance you can provide in expediting the granting of this Petition as soon as possible would be greatly appreciated.

If there are any questions or concerns, please contact me at the number above. Thank you for your assistance in this matter.

Very truly yours,

John Pietrangelo Agent for Applicant Reg. No. 39,331

tap/JP

Enclosures:

(1) Petition Requesting a New Filing Date and New Application Number (with faxed copy, 7 pp.)

- (2) Exhibit A: Copy of Application of Prough, et al. entitled "System and Method for Improving the Movement and Discharge of Material from Vessels", having a Specification containing 20 pp.; 63 Claims on 12 pp.; an Abstract on 1 p.; and 3 Drawings Sheets containing 3 Formal Figures on 3 pp. (with mailed copy, 36 pp.);
- (3) Exhibit B: Copy of Stamped Itemized Postcard returned to the Applicant by the USPTO (with mailed copy, 1 p.);
- (4) Exhibit C: Copy of License for Foreign Filing having Serial Number P-106,161 (with mailed copy, 2 pp.);
- (5) Exhibit D: Copy of Request for Certified Copy of application dated August 6, 2002 (with mailed copy, 1 p.);
- (6) Exhibit E: Copy of Notice of Omitted Items dated August 16, 2002 (with mailed copy, 2 pp.);
- (7) Exhibit F: Copy of Letter to OPLA dated November 1, 2002 (with mailed copy, 2 pp.);
- (8) Exhibit G: Copy of Declaration and Power of Attorney submitted via Express Mail on July 15, 2002 (with mailed copy, 4 pp.);
- (9) Exhibit H: Copy of Utility Patent Application Transmittal filed via Express Mail on July 15, 2002 (with mailed copy, 4 pp.);
- (10) Exhibit I: Copy of Small Entity Statement filed via Express Mail on July 15, 2002 (with mailed copy, 1 p.);

RECEIVED
NOV 2 1 2002

N THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of **Prough**, et al.

Atty. Ref.: 2065.005A

Appln. No.

10/195,230

Group:

1724

Examiner:

to be assigned

For:

System and Method for Improving the Movement and Discharge of Materials from Vessels

Certificate of Express Mail and Facsimile Transmission

I hereby certify that this correspondence is being transmitted via Express Mail and via facsimile to the Commissioner for Patents, Box PETITIONS, Office of Patent Legal Administration, Washington, D.C. 20231 to the attention of Ms. Terry Dey at facsimile number 703-308-6916 on November 19, 2002.

John Pietrangelo // Agent for Applicant Reg. No. 39,331

Date of Signature: November 19, 2002

Fax: 703-308-6916/Then Express Mail

Commissioner for Patents Box PETITIONS Office of Patent Legal Administration Washington, D.C. 20231 RECEIVED

NOV 2 1 2002

OFFICE OF PETITIONS

Attention: Ms. Terry Dey

Petition to Request New Filing Date and New Application Number

Dear Sir:

The Applicant submits this Petition (herein "the New Petition") in response to a phone conversation with Ms. Terry Dey and Mr. Fred Silverberg on November 15, 2002,

concerning the above-referenced application. Since this New Petition is not being filed in Response to any Actions by the USPTO, no time limit has been established for filing this New Petition.

The Commissioner is hereby authorized to charge Deposit Account **08-1935** for the \$130.00 Petition Fee pursuant to 37 CFR 1.17(h) for this New Petition.

By this New Petition, the Applicant requests that a filing date of July 16, 2002 and new application number be assigned to the application submitted to the Office of Foreign Filing on July 16, 2002. A copy of this application is being submitted herewith as **Exhibit A**.

In submitting this New Petition, the Applicant in no way surrenders it's position presented in the Petition filed on September 24, 2002. As discussed in that earlier Petition, the Applicant submits that the application filed by Express Mail on July 15, 2002 was whole and complete at the time of filing and received as such by the USPTO. The wholeness and completeness of the application is attested to by the itemized postcard received, stamped with a filing date and application number, and returned to the Applicant by the USPTO (and submitted herewith as Exhibit B.) The Applicant respectfully submits that somehow the application received by the USPTO was mishandled by the USPTO wherein the specification placed in the application's file was incorrect. The only reason the Applicant is filing this New Petition is to expedite the receipt of a certified copy of the as-filed application for use in support of the Applicant's corresponding foreign applications. The Applicant believes that a prolonged and costly battle with the USPTO to correct the results of the mishandling of this application would interfere with the prosecution of the present application and also interfere with the prosecution of the Applicant's foreign applications. The Applicant has chosen to submit this New Petition in order to avoid such cost and interference.

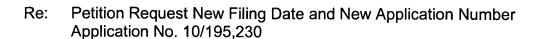
In support of this New Petition, the Applicant provides the following summary of the events associated with the filing and handling of the above-referenced application.

On July 15, 2002, the Applicant submitted the following documents to the U.S. Patent and Trademark Office (USPTO) via Express Mail Post Office to the Addressee for the above-referenced application:

- * Utility Patent Application Transmittal (Small entity) (4 pgs.);
- * U.S. Patent Application Specification (33 pgs.), including 63 claims, 12 pgs., and Abstract, 1 pg.
- * Three (3) sheets of formal drawings;
- * Executed Declaration and Power of Attorney for Patent Application (4 pages);
- * Executed Assignment (3 pgs.) with Recordation Form Cover Sheet (1 pg.);
- * Information Disclosure Statement (1 pg.);
- * Information Disclosure Citation (1 pg.) with 2 references;
- * Assertion of Small Entity Status Under 37 C.F.R. §1.27 (c) (2)(1 pg.);
- * Check for \$839.00 for \$799.00 filing fee, and \$40.00 recordation fee;
- * EFS Data Sheet (2 pgs.);
- * Certificate of Express Mail (Label No. EV 027280635 US); and
- * One(1) Return Receipt Postcard.

These documents were received by the USPTO and the application was assigned the filing date of July 15, 2002 and the application number 10/195,230. The receipt of these documents and the assignment of this filing date and application number were confirmed by the attached itemized postcard identifying these documents and stamped by the USPTO, **Exhibit B**.

On July 16, 2002, the Applicant arranged to have the Specification, Claims and Formal Drawings that were filed by Express Mail on July 15, 2002 hand-delivered to the USPTO's Office of Foreign Filing (OFF) in order to expedite the granting of a foreign filing license. The Applicant needed this license so that corresponding foreign applications could be filed by the one-year anniversary of the filing of provisional application 60/309,332 filed on August 2, 2001, and from which the above-referenced application claims priority. As indicated on the attached License for Foreign Filing, a license having a request serial number P-106,161; a request date



7/16/02; a license number 599,211; and a license grant date 17-Jul-02 was issued by the OFF, **Exhibit C**.

On August 6, 2002, the Applicant submitted a Request for Certified Copy of application 10/195,230, **Exhibit D**. On August 26, 2002, the Applicant received a certified copy of an Application having serial number 10/195,230. However, upon review of this certified copy, the Applicant discovered that the specification associated with application number 10/195,230 was incorrect. The Applicant discovered that application number 10/195,230 consisted of a correct set of formal drawings, but the specification comprised one of the references submitted by the Applicant on July 15, 2002. Specifically, the reference designated "AB" was included as the specification of application 10/195,230. The designation "AB" clearly appeared on the certified copy of application 10/195,230. The Applicant believed and continues to believe that the USPTO somehow mishandled the application upon receipt and replaced the as-filed specification with the as-filed reference AB.

In the same time period, on August 16, 2002, the USPTO's Initial Patent Examination Division (IPED) issued a Notice of Omitted Items, **Exhibit E**. In this Notice, the IPED identified a discrepancy between the number and identification of the figures described in the Specification and the figures that appeared in application number 10/195,230. Though the Applicant was unclear of the nature of the discrepancies, and was not aided by repeated calls to the IPED, when the Applicant received the certified copy of what was identified as application number 10/195,230, the source of the discrepancy was clear: the IPED was viewing the incorrect specification.

After repeated unproductive contacts with the IPED, the Applicant finally received some productive assistance from Ms. Tushomba Stokes of the IPED. With the help of Ms. Stokes, the Applicant filed a Petition in Response to a Notice of Omitted Items on September 24, 2002 which, among other things, included a similar summary of the events summarized above, a copy of the "correct" specification filed by the Applicant via Express mail on July 15, 2002, and

a request to replace the incorrect specification associated with application 10/195, 230 with the "correct" specification provided. This Petition is presently pending.

In a closely related development, on October 31, 2002, in a phone conversation with Ms. Joyce Brown of the OFF, the Applicant was informed that the application that was submitted to the OFF on July 16, 2002 to obtain an expedited foreign filing license is on file and retrievable from the OFF. Ms. Brown advised the Applicant that the application on file at the OFF and having foreign filing license 599,211 is associated with application number 10/195,230 in the USPTO's databases. Ms. Brown also advised the Applicant that the title of the application on file at the OFF is identical to the "correct" application submitted by the Applicant to the USPTO via Express Mail on July 15, 2002. In a letter dated November 1, 2002, the Applicant advised the OPLA of the existence of the "correct" application on file at the OFF, Exhibit F.

In a phone conversation with Ms. Terry Dey of the OPLA and Mr. Fred Silverberg of the Office of Petitions on November 15, 2002, the Applicant was informed that the Office of Petitions is willing to consider this New Petition requesting that the Specification, Claims, and Drawings submitted by the Applicant to the OFF on July 16, 2002 be granted a new application number and a filing date of July 16, 2002. This correct Specification, Claims, and Drawings are attached hereto as **Exhibit A**.

The Applicant hereby requests that the OPLA grant a new filing date of July 16, 2002 and a new application serial number to the Specification, Claims, and Drawings submitted to the OFF by the Applicant on July 16, 2002, and submitted herewith as **Exhibit A**. In order to comply with the filing requirements of 35 USC 115, the Applicant hereby submits a copy of the executed Declaration and Power of Attorney for the application submitted to the OFF (since no Declaration and Power of Attorney was included in the documents submitted to the OFF), **Exhibit G**.

The Commissioner is hereby authorized to charge Deposit Account **08-1935** for the \$ 65.00 surcharge for late filing of this Declaration pursuant to 37 CFR 1.16(e).

Should this New Petition be granted, the Applicant hereby also authorizes the Commissioner to charge Deposit Account **08-1935** for the \$799.00 filing and claim fee pursuant to 37 CFR 1.53(b) and the attached Utility Patent Application Transmittal dated July 15, 2002, **Exhibit H**. The Applicant is entitled to Small Entity status pursuant to the attached Assertion of Small Entity Status submitted via Express Mail on July 15, 2002, **Exhibit I**.

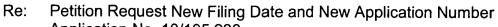
The Applicant also submits that, should this New Petition be granted, the Applicant will file a request that the Petition filed on September 24, 2002 be withdrawn.

The Commissioner is hereby also authorized to charge Deposit Account **08-1935** for any related fees associated with this New Petition or with the handling or processing of the new application number and filing date.

The OPLA and the Office of Petitions is reminded that the Applicant is in need of certified copies of the corrected application <u>immediately</u> to comply with the demands of the foreign patent offices handling the corresponding foreign applications.

The Applicant acknowledges with gratitude the assistance the OPLA, the Office of Petitions, and especially Ms. Terry Dey have provided to expedite the handling of these petitions.

Should any further documentation be needed or should any questions need be addressed, the Applicant requests that the undersigned agent be contacted so that this New Petition may be processed as quickly as possible.



Application No. 10/195,230

Respectfully submitted,

John Pietrangelo
Agent for Applicant
Reg. No. 39,331

Dated: November 19, 2002

HESLIN ROTHENBERG FARLEY & MESITI P.C.

5 Columbia Circle

Albany, New York 12203 Telephone: (518) 452-5600 Facsimile: (518) 452-5579

United States Patent and Trademark Office

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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
WWW.uspto.gov

SERIAL NUMBER REQUEST DATE

FIRST NAMED APPLICANT

MATTORNEY DOCKET NO. |

P-106,161

7/16/02

JAMES ROBERT PROUGH, ET AL

2065,005A

Title:

SYSTEM AND METHOD FOR IMPROVING THE MOVEMENT AND DISCHARGE OF MATERIAL FROM VESSELS

Art Unit

Paper Number

Correspondence Address:

JOHN PIETRANGELO
HESLIN ROTHENBERG FARLEY & MESITI P.C.
5 COLUMBIA CIRCLE
ALBANY, NEW YORK 12203-5160

Licensee under 35 U.S.C. 184 is hereby granted to file in any foreign country a patent application and any amendments thereto corresponding to the subject matter of this U.S. application identified above and/or any material accompanying the petition. This license is conditioned upon modification of any applicable secrecy order and is subject to revocation without notice.

License Number:

599,211

Grant Date:

17-Jul-02

Approved

for Commissioner of Patents and Trademar

This license empowers the filing, the causation and the authorization of the filing of a foreign application or applications on the subject matter identified above, subsequent forwarding of all duplicate and formal papers and the prosecution of such aplication or applications.

This license is granted under 37 CFR 5.15(a).

This license is to be retained by the licensee and may be used at anytime on or after the date thereof. This license is not retroactive unless specifically indicated.

The grant of this license does not in any way lesson the responsibility of the licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Department of the Treasury; Office of Munitions Control, Department of State (with respect to Arms, Munitions and Implements of War); the Bureau of Trade Regulation, Office of Export Administration, Department of Commerce; and the Department of Energy.

LICENSE FOR FOREIGN FILING

[Title 35, United States Code (1952) Sections 184, 185, 186]





System and for improving the movement and discharge of material from vessels

Preliminary Class

210

LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

HESLIN ROTHENBERG FARLEY & MESITI P.C.

Robert E. Heslin Jeff Rothenberg Kevin P. Radigan Susan E. Farley Nicholas Mesiti Philip E. Hansen* Blanche E. Schiller Wayne F. Reinke Candice J. Clement David P. Miranda

*Patent Agent †Other than NY Bar



INTELLECTUAL PROPERTY LAW

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Attorneys at Law 5 Columbia Circle Albany, New York 12203 Telephone: (518) 452-5600 Facsimile: (518) 452-5579

www.hrfmlaw.com

Kathy Smith Dias Mary Louise Gioeni David A. Pascarella Victor A. Cardona Lee Palmateer John Pietrangelo * Alison E. Gugel Brett M. Hutton James M. Syta Jacqueline M. Arendt†

Martha L. Boden Of Counsel

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John Pietrangelo Agent for Applicant Reg. No. 39,331

Date of Signature: November 1, 2002

Fax: 703-308-6916 No. of Pages: 2

Commissioner for Patents
Office of Patent Legal Administration
Washington, D.C. 20231

Attention: Ms. Terry Dev

Re: Correspondence in Regards to a Petition

For Non-provisional Application Application No.: 10/195,230 Filing Date: July 15, 2002 Our File Ref.: 2065.005A

Dear Ms. Dey:

As noted in our phone conversation today, we understand that you are handling the review of the above-referenced Petition.

Re: Correspondence in Regards of Petition

Application No. 10/195,230

Confirming our phone conversation today, please be advised that the subject application was submitted to the Office of Foreign Filing (OFF) on July 16, 2002, and on July 17, 2002 the subject application was granted Foreign Filing License Number 599, 211. In a phone conversation on October 31, 2002 with Ms. Joyce Brown of the OFF, we were advised that the application submitted to the OFF is on file and retrievable from the OFF. Ms. Brown also advised us that the title of the application on file at the OFF is identical to the title of the correct application submitted by the Applicant via Express Mail on July 15, 2002.

Again, the Applicant submits that the correct application was submitted to the USPTO on July 15, 2002; however somehow this application did not make it into the file for this application. The above information concerning the submittal of the application to the OFF is presented to ensure that the Office of Patent Legal Administration is aware of all the documents that were submitted to the USPTO at the time of the filing of the subject application.

If you have any questions concerning this matter, please contact me at the number above. Thank you for your assistance.

Very truly yours,

John Pietrangelo

Agent for Applicant Reg. No. 39,331

tap/JP